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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Pengfei Wu and D.V.G.L.N. Rao

Application No./Patent No.: 10/077601 Filed/Issue Date: February 15, 2002

Entitled: OPTICAL STORAGE SYSTEM

University of Massachusetts, a University  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Richard F. Antonak  
Signature

4/27/08  
Date

Richard F. Antonak  
Printed or Typed Name

617-287-5608  
Telephone Number

Vice Provost for Research  
University of Massachusetts  
Title

## ASSIGNMENT

WHEREAS, we, **Pengfei Wu**, being a citizen of China and residing at 9422 SW 140 Ct.  
Miami, FL 33186; and **D.V.G.L.N. Rao**, being a citizen of The United States of America  
and residing at 33 Whipple Road, Lexington, MA 02420, are inventors of certain new and useful  
inventions and discoveries, for which we have made an applications for United States Patents:

APPLICATION NO.:	FILING DATE:	TITLE:
10/077,601	February 15, 2002	OPTICAL STORAGE SYSTEM

WHEREAS, **University of Massachusetts**, whose business address is Office of the General Counsel, 225  
Franklin Street, 12<sup>th</sup> Floor, Boston, MA 02110, which, together with its successors and assigns is  
hereinafter called "ASSIGNEE," is desirous of acquiring the title, rights, benefits, and privileges  
hereinafter recited;

NOW, THEREFORE, for and in consideration of our employment by ASSIGNEE and other valuable  
consideration furnished by ASSIGNEE to us, receipt and sufficiency of which we hereby acknowledge, we  
hereby, without reservations:

1. Assign, transfer, and convey to ASSIGNEE the entire right, title, and interest in and to  
said inventions and discoveries, said United States Patent Application, any and all other applications for  
Letters Patent(s) on said inventions and discoveries in whatsoever countries, including all divisional,  
renewal, substitute, continuation, continuation-in-part, reexamination and convention applications based in  
whole, or in part, upon said inventions or discoveries, or upon said United States Patent Application, and  
any and all Letters Patent(s), reissues, and extensions of Letters Patent(s) granted for said inventions and  
discoveries or upon said applications, and every priority right that is or may be predicated upon, or arise  
from, said inventions, said discoveries, said applications, and said Letters Patent(s);

2. Authorize ASSIGNEE to file patent applications in any or all countries on any or all of  
said inventions and discoveries in our names or in the name of ASSIGNEE or otherwise as ASSIGNEE  
may deem advisable, under International Conventions or otherwise;

3. Authorize and request the Commissioner of Patents and Trademarks of the United States  
of America and the empowered officials of all other governments throughout the world to issue or transfer  
all said Letters Patent(s) to ASSIGNEE, as assignee of the entire right, title, and interest therein or  
otherwise as ASSIGNEE may direct;

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Assignment Document

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications, or patents, or any license to use the same, or to make, use, or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to ASSIGNEE without encumbrance;

5. Bind our heirs, legal representatives, and assigns, as well as ourselves, to do, upon ASSIGNEE's request and at ASSIGNEE's expense, but without additional consideration to either us or them, all acts reasonably serving to assure that said inventions and discoveries, said patent applications, and said Letters Patent(s) shall be held and enjoyed by ASSIGNEE as fully and entirely as the same could have been held and enjoyed by us, our heirs, legal representatives, and assigns if this Assignment had not been made; and particularly to execute and deliver to ASSIGNEE all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by ASSIGNEE; and to communicate to ASSIGNEE all facts known to us relating to said inventions and discoveries or the history thereof, and to testify as to the same in any court or proceeding; and to furnish ASSIGNEE any and all documents, photographs, models, samples, and other physical exhibits in our control or in the control of our heirs, legal representatives, or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal.

DATE: 5/26/08

Pengfei Wu  
Pengfei Wu

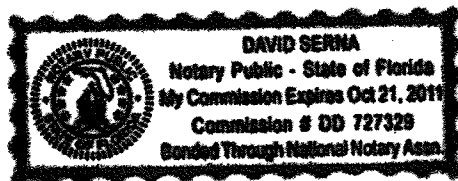
State of Florida )  
County of Miami Dade )

On this 12<sup>th</sup> day of May, 20 08, before me, the undersigned Notary public, personally appeared Pengfei Wu, proved to me through satisfactory evidence of identification, to be the person whose name is signed on the preceding or attached document in my presence EQ WOOD-640-68-098-0

X. 3/18/13

[Signature]  
Notary Public  
[affix seal]

US1DOCS 6614318v1



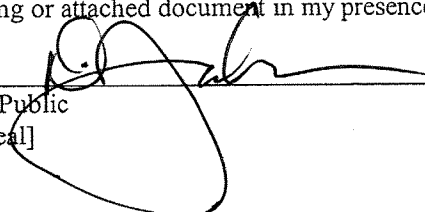
Wu, et al.  
U.S.S.N. 10/077,601  
Assignment Document

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal.

DATE: May 28, 2008 D.V.G.L.N. Rao  
D.V.G.L.N. Rao

State of Massachusetts )  
County of Suffolk )

On this 28 day of May, 20 08, before me, the undersigned  
Notary public, personally appeared D.V.G.L.N. Rao, proved  
to me through satisfactory evidence of identification, to be the person whose name is signed on the  
preceding or attached document in my presence.

  
\_\_\_\_\_  
Notary Public  
[affix seal]

*Dawnette L. Jackson*  
*Notary Public*  
*My Commission Expires 7/10/09*